

10/05/00  
JC914 U.S. PRO

PATENT  
ATTORNEY DOCKET NO.: 052144-5001

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Commissioner for Patents  
**Box Patent Application**  
Washington, D.C. 20231

JC914 U.S. PRO  
09/679813  
10/05/00

**NEW APPLICATION TRANSMITTAL**

Transmitted herewith for filing is the patent application of:

Inventor: **STEVEN A. LAPIERRE**

For: **A SYSTEM AND METHOD FOR ELECTRONIC TRADING OF ASSETS**

1. This new application is for a:

Utility       Design       Plant

2. Papers enclosed which are required for a filing date:

38 Pages of specification including

1 Title Page

5 Pages of claims and 19 Total Claims - 3 Independent

1 Pages of Abstract

17 Sheets of       FORMAL       INFORMAL      drawings containing

17 Figures (Figs. 1-17)

The enclosed drawing(s) are photograph(s), and there is also attached a PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)

3. Combined Declaration and Power of Attorney

- Enclosed - and is executed by all inventors  
 Not Enclosed

This application is being filed under the provisions of 37 C.F.R. §1.53(d).  
Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the Declaration and paying the filing fees.

4. Language

- English  
 Non-English

This application is being filed in accordance with 37 C.F.R. §1.52(d) and §608.01 of the MPEP. Applicant(s) await notification from the Patent and Trademark Office of the time set for filing the verified English translation and the processing fee.

5. Assignment

- is attached and Assignment of the invention is to  
 also enclosed is the Form PTO-1595, Recordation Form Cover Sheet.  
 will be filed at a later date

6. Certified Copy

Application(s) from which priority is claimed are:

Country	Application No.	Filed

Certified copy(ies) is/are  attached  will follow

7. Fee Calculation

CLAIMS AS FILED				
	Number Filed	Number Extra	at Rate of	Basic Fee
Total Claims (37 CFR 1.16(c))	19 - 20	0	x \$ 18.00 +	Utility \$710.00 Design \$320.00
Independent Claims (37 CFR 1.16(b))	3 - 3	0	x \$ 80.00 +	0.00
Multiple dependent claim(s), if any (37 CFR 1.16(d))			\$270.00 +	0.00
			SUBTOTAL =	710.00
			Reduction by 1/2 for filing by a small entity-	
			TOTAL FILING FEE =	\$ 710.00

8. Small Entity Statement(s)

- Verified Statement(s) that this is a filing by a small entity under 37 C.F.R. §1.9 and §1.27 is(are) attached.

9. Fee Payment

- The Commissioner is hereby authorized to charge the filing fee to Deposit Account No. 50-0310 in the amount of \$

- No fee is being submitted at this time.

**Except** for issue fees payable under 37 C.F.R. §1.18, the Commissioner is hereby authorized to charge any additional fees during the entire pendency of this application including fees due under 37 CFR § 1.16 and § 1.17 which may be required, or credit any overpayment to Deposit Account No. 50-0310. This paragraph is intended to be a **CONSTRUCTIVE PETITION FOR EXTENSION OF TIME** in accordance with 37 C.F.R. §1.136(a)(3).

10. Additional papers enclosed:

- Preliminary Amendment  
 Information Disclosure Statement  
 Form PTO-1449  
 Citations (   documents listed)

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Please accord an application number and filing date.

Respectfully submitted,

**MORGAN, LEWIS & BOCKIUS LLP**

By: Arlene P. Neal  
Arlene P. Neal  
Reg. No. 43,828

Dated: October 5, 2000

**MORGAN, LEWIS & BOCKIUS LLP**  
**1800 M Street, N.W.**  
**Washington, D.C. 20036**  
**(202) 467-7000**

APN/dja